

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

---

In re Patent Application of:  
David de Graaf, *et al.*

Confirmation No. 1227

Application No.: 09/804,481

Group Art Unit: 1639

Filed: March 12, 2001

Examiner: A. Steele

For: NOVEL SMALL NUCLEAR RNA VECTORS  
AND USES THEREFOR

---

**TRANSMITTAL OF SUBSTITUTE SEQUENCE LISTING**

MS Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

This substitute Sequence Listing is submitted in response to the Notice to Comply mailed from the Patent Office on April 20, 2009. A copy of the Notice is attached.

Transmitted herewith is a copy of a substitute Sequence Listing in paper form (pages 1/4 through 4/4) comprising SEQ ID NOS: 1-11 for the above-identified patent application as required by 37 CFR 1.821(c), and a copy of the substitute Sequence Listing in computer readable form as required by 37 CFR 1.821(e).

The undersigned hereby states that the content of the substitute Sequence Listing in paper form and computer readable form submitted herewith are the same as required by 37 CFR 1.821(f). The undersigned also states that the submission includes no new matter as required by 37 CFR 1.821(g).

Applicant believes no additional fee is due with this response. However, if an additional fee is due, please charge our Deposit Account No. 50-3655, under Order No. W1BR-523-101 from which the undersigned is authorized to draw.

Dated: October 20, 2009

Respectfully submitted,

By Lisa M. Treannie

Lisa M. Treannie, Esq.  
Registration No.: 41,368  
Morse, Barnes-Brown & Pendleton, P.C.  
Reservoir Place  
1601 Trapelo Road, Suite 205  
Waltham, MA 02451  
781-622-5930  
Attorneys for Applicant